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ABSTRACT

In January 1972, the New England Library Information Network (NELINET) conducted a survey of serials lists and the need for further union list coverage in the New England region. The survey was an outgrowth of a meeting of librarians concerned with serials access in the region held at Worcester Polytechnic Institute in December, 1971. On the basis of questions asked at that meeting NELINET developed three separate questionnaire forms (reproduced in Appendix A) which were subsequently sent out to 229 academic libraries, the six state libraries, and three of the larger public libraries in New England. The first form was directed to the serials librarian and contained questions about multiple-copy serials lists, local or union, which included holdings information from his or her library. The second was directed to the ILL librarian and concerned the use of such lists and the need for additional coverage. The last questionnaire was to be filled out by the editor or coordinator of a union list. This report is a summary of the responses obtained from the survey. (Author)

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A SURVEY OF SERIALS LISTS IN NEW ENGLAND LIBRARIES:

A Preliminary Report

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Chairman, NELINET Task Group on Serials

May 10, 1972

LI 004 126

NEW ENGLAND BOARD OF HIGHER EDUCATION
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SERIALS LISTS IN NEW ENGLAND LIBRARIES

A. Introduction

In January of this year NELINET conducted a survey of serials lists and the need for further union list coverage in the New England region. The survey was an outgrowth of a meeting of librarians concerned with serials access in the region held at Worcester Polytechnic Institute in December, 1971. On the basis of questions asked at that meeting NELINET developed three separate questionnaire forms (see Appendix A) which were subsequently sent out to 229 academic libraries, the six state libraries, and three of the larger public libraries in New England. The first form was directed to the serials librarian and contained questions about multiple-copy serials lists, local or union, which included holdings information from his or her library. The second was directed to the ILL librarian and concerned the use of such lists and the need for additional coverage. The last questionnaire was to be filled out by the editor or coordinator of a union list. This report is a summary of the responses obtained from the survey.

B. Response

A total of 84 libraries returned at least one of the questionnaires, for a return rate of 35.1% (see Appendix B for a list of these libraries). In terms of type of library, the respondents included 1 public, 2 special, 3 state, and 77 academic libraries. One questionnaire return was from outside of the New England region, and will not be considered in the following summary.

C. Union Lists of Serials Currently in Use

Table 1 shows the extent to which the 83 libraries we are considering participate in or produce multiple-copy serials lists. Of particular interest is the fact that nearly fifty percent contribute to a local union list. This may well be a biased figure, however; it is possible that, since the survey was announced as an investigation into the adequacy of union list coverage in New England, those libraries already involved in union list efforts might have been more willing to complete the questionnaires.

A total of 41 responding libraries contribute to one or more of 12 local, multi-institutional serials lists. Of these 12, three are of a rather special character: the Union List of Serials in Maine, New Hampshire & Vermont, published by Literature Service Associate of Warren, New Jersey is considered by most to be of little current value and will not be included in this analysis. The Journal Holdings of Maine Libraries, while valuable, is not truly a union list

but rather a collection of individual lists from the participating libraries. A third list, in Southwestern Connecticut, exists in card form only and therefore does not meet the criteria of a multiple-copy union list. Two of the remaining lists are specialized: The SLA/Boston Chapter List and the Union List of Medical Journals in the Providence area. Table 2 shows some of the characteristics of the 8 union lists for which Part C of the questionnaire was returned.

A number of institutions, such as Harvard University and the University of Vermont, have internal union lists of serials. These are being considered in the summary as simply internal lists, and not as union lists, the distinguishing criteria being the participation of only one institution.

Table 1. Extent to which responding libraries participate in or produce multiple-copy serials lists.

	No. of libraries responding Yes	No. of libraries responding No
Contributes to New Serials Titles	20 (24%)	60 (72%)
Produces internal, multiple-copy serials lists	36 (43%)	42 (51%)
Contributes to a local union list of serials	41 (49%)	37 (44%)

Southern New England

Only one union serials list has been identified in Rhode Island, the Providence Union List of Medical Journals mentioned above. It contains primarily the titles that are indexed in Index Medicus. Of the larger libraries in the state, only the University of Rhode

Table 2. Union Lists for which questionnaires were received.

	No. of libraries	No. of entries	Frequency	How produced	Price to non contributors
a. Union List of Medical Journals. 6th Edition. Providence. 1970	23	1,866	as needed	manual	$6.50
b. Connecticut Union List of Serials. Popular Edition.	126	1,000	not yet established	computer	$5.00
c. Union List of Serials in the Libraries of the Greater Springfield, Massachusetts Area. 3rd Edition. 1971.	18	4,500	biennial	*computer	$7.50
d. Pioneer Valley Union List of Journal and Serial Holdings. Amherst, Massachusetts. 1971.	6	22,000	annual	computer	$5.00
e. Worcester Area Union List of Serials. 1970.	22	9,300	not yet established	punched card equip. (changing to computer)	$15.00
f. Union List of Serials in Seventy-one Libraries. 9th Edition. Boston.	71	5,350	biennial	*computer	$30.00
g. Southeastern Massachusetts Cooperating College Libraries Union List of Periodicals.	4	3,964	3 times a year	*computer	$15-20.00
h. New Hampshire College and University Council. Union List of Periodicals.	9	9,000	annual	computer	$27.50

* May be punched card equipment.

Island has an internal serials list. Brown, of course, contributes to NST.

The Connecticut Union List of Serials will exist in two editions, a "Research Edition" and a "Popular Edition." According to Charles Funk of the Connecticut State Library in a letter accompanying the questionnaire he filled out, the latter "can be loosely described as consisting of the holdings of a limited number of titles by an unlimited number of libraries," while the former will consist of "an unlimited number of titles by a limted number of libraries," presumably the stronger libraries.

Academic, public, and special libraries are well covered in the "Popular Edition." At the time of the survey, the "Research Edition" was not yet available, and could not be evaluated.

No inquiry was made as to whether or not the two more strictly local union lists in Connecticut, both in the southwestern part of the state, will be maintained now that there are the new state-wide lists.

Central New England

Massachusetts is fairly well covered, but with five separate lists. The fourth edition of the Worcester list will include some libraries in Central Massachusetts beyond the immediate Worcester vicinity. Poorest coverage in the state is in the Boston area, where the only multi-institutional list is the one published by the Boston SLA chapter, which does not include many academic or public libraries.

The Pioneer Valley List, in the Amherst area, is quite complete for the University of Massachusetts, but does not include holdings of inactive titles for some of the other participating institutions. One public library is included but no special libraries are.

The Springfield and Worcester lists both include academic, public and special libraries, while the Bridgewater area list covers four academic collections.

Northern New England

Vermont has no adequate union list, except for the internal list of the University of Vermont. New Hampshire, on the other hand, has a new state-wide list to which most of the state's academic libraries contribute. Maine, as mentioned earlier, has only a quasi-union list which includes holdings from all of the significant libraries in the state.

Table 3. Responding libraries that contribute to New Serial Titles: participation in other serials lists.

	number	percentage of total respondents
a) NST Libraries producing internal, multiple-copy serials lists	12	14%
b) NST Libraries contributing to a local union list	9	11%
c) NST Libraries producing internal lists and contributing to a local union list	4	4%
d) NST Libraries not involved in other multiple-copy serials lists	3	3%
e) Total number of libraries contributing to NST	20	24%

Table 4. Responding libraries that contribute to local union lists of serials.

	number	percentage of total responding
a) Contribute to local union list only	16	19%
b) Contribute to local union list and maintain an internal, multiple-copy serials list	17	20%
c) Contribute to local union list and New Serials Titles	9	10%
d) Total number of libraries contributing to local union lists	42	51%

Table 5. Responding libraries that do not participate in any union list of serials.

	number	percentage of total responding
a) Libraries that maintain an internal, multiple-copy serials list	10	12%
b) Libraries that do not maintain an internal list	18	22%
c) Total, libraries that do not participate in any union list	28	34%

Table 6. Distributions of selected characteristics of internal, multiple-copy serials lists (a total of 35 libraries).

	number
a) Means of production*	
Duplicated typescript	28
Punch card equipment	2
Computer	8
Other	2
b) Frequency	
Monthly	2
Quarterly	1
Semi-annual	4
Annual	16
Irregular	2
c) Size (number of titles)	
100-400	12
401-1000	7
1001-2000	6
2001-5000	4
5001+	4
d) Distribution*	
In-library	35
Branch libraries	12
Faculty	26
Other libraries	19

*More than one category checked by some libraries.

All of the lists mentioned above are recent, with many 1971 imprint dates. Frequency of updating varies considerably, but the majority of respondents state that new editions are planned at intervals of no more than two years.

Twenty responding libraries contribute at least a portion of their serials holdings information to NST. Of these, nine also contribute to local union lists, and four of these nine maintain their own internal, multiple-copy serials list.

Of the 42 libraries contributing to local union lists, 17 maintain internal lists. It was not ascertained whether any of the internal lists are by-products of a local union list, but this capability is planned for the Worcester Area Union List of Serials. Sixteen libraries contribute to local union lists but do not have internal lists, while the opposite is true for 18 libraries: these have internal lists but do not contribute to any local union lists, although eight of these do contribute to NST.

Finally, 18 responding libraries do not have their serials holdings reflected in any multiple-copy serials listing.

D. Internal Serials Lists

Thirty-six of the responding libraries maintain their own internal serials lists. These range from simple listings of titles to large, computer-produced union lists of holdings in the departmental libraries of a single institution. Some internal lists are arranged by subject. The majority are produced annually. There are no significant geographical concentrations of internal lists, although the composite Journal Holdings of Maine Libraries, considered above under union lists, provides broad coverage of libraries in that state. Table 6 summarizes the surveyed characteristics of the internal lists.

E. Use of Serials Lists

Table 7 provides a weighted summary of the responses by ILL librarians to the request that they estimate the number of times several different types of serials lists are used in their libraries by staff and patrons. Five different levels of use were specified: several times a day, once a day, a few times a week, once a week, and less than once a week. A weight of 5 was assigned to the first of these; descending weights were assigned to the rest, down to 1 for the level representing the lowest frequency of use. The total weighted scores were then obtained; these appear in Table 7. Not all libraries, of course, responded to each question.

Table 7. Estimated use of serials lists, by type in reporting libraries: weighted scores (see text).

	Staff use	Patron use
A. Internal serials list	183	168
B. Local multi-institutional list to which responding library contributes	142	107
C. Local multi-institutional list to which responding library does not contribute	95	41
D. Union lists from elsewhere in New England to which responding library does not contribute	110	49

The internal list, predictably, has the highest use. It was specifically requested that Kardex or Visiguide use not be included, but of course there was no way of controlling the response. Curiously, the use of local union lists to which the responding library does not contribute is reported as being greater for lists outside of the immediate geographical area of that library than for lists within the area. No clear reason for this is discernable. On the other hand, 23 out of 30 librarians responding to question II in Part B feel that their geographic areas, not now covered by local union lists, should be included in such coverage.

F. Need for Additional Union List Activity in New England

Question III in Part B asked ILL librarians to rank several recommendations in order of preference. Weighted scores were again calculated, with first choice being assigned a weight of 4, down to fourth choice with a weight of 1. The results are shown in Table 8. (Option E, "Other," brought few but varied responses, some of which were more of the nature of comments, and was not included in the weighted comparisons.) If we combine categories A and B, which recommend a reliance upon local union lists, and categories C and D, which recommend development of some form of a unified New England

regional union list, we find that three times as many respondents ranked the unified regional list first as did those who ranked the local list approach first. Clearly the majority of ILL librarians are weary of having to go to a shelf full of independent serials listings in order to locate the titles they need.

Table 8. Ranking of viarious recommendations in order of preference: weighted scores (see text).

One master regional union list for all New England (Option C)	91
As above, but including only current titles as a by-product of a region-wide serials control system (Option D)	66
Specific local union lists be expanded to include libraries not now contributing to them, and then be distributed on a formal and predictable basis (Option B)	65
Present local union lists be exchanged on a formal and predictable basis (Option A)	61

In comparing the size and type of libraries assigning top priority to each of the different options, no clear pattern emerges. The breakdown for one characteristic - whether or not the responding library already contributes to a general local union list - is shown in Table 9. ILL librarians at those institutions which do contribute to a local list are somewhat less interested in the creation of a unified regional list than those at institutions which do not so contribute. Note that very few are interested in expanding existing lists. The only large institution where this option was favored is the University of Massachusetts/Amherst. Librarians at state universities in three other states favor Option C, while at UNH there is an interest in Option D. The three state libraries that responded favor Option C.

Table 9. Number of libraries assigning first priority to each of the various options in Table 8 according to whether or not the responding library does or does not contribute to a local union list of serials.

	Contributes to local union list	Does not contribute to local union list
Option A	10	3
Option B	3	3
Option C	16	21
Option D	7	5

G. Conclusions

The inclusion of serials holdings of New England libraries in multiple-copy serials lists is fragmented and, in many areas, incomplete. For the 83 libraries that returned our questionnaire, a total of 45 such lists were reported, including New Serials Titles. Only 20 libraries among the respondents contribute to NST at all. A total of 18 libraries do not have their serials holdings included in any multiple-copy listing. Furthermore, except in Maine, there is no formal mechanism for exchanging the lists that are produced. These lists themselves vary greatly as to what kinds of materials are included, some being confined to periodicals only.

This situation obviously accounts for the overwhelming interest expressed in the responses for a single, region-wide listing of serials holdings. Such a listing, if maintained, would clearly be of great benefit to all sizes and types of libraries in New England.

The survey did not concern itself with the severe economic and technical difficulties of producing such a list. Several respondents commented upon this, and some suggested that these difficulties could prove insurmountable. If further consideration is given to improving the situation, other, perhaps more practical possibilities would have to be examined. These might include individual state union lists, such as Connecticut is producing, or perhaps separate lists for Southern, Central, and Northern New England. Close consideration should be given to the report of the National Serials Data Project.

Finally the survey indicates that energy and effort must be given to finding better means of locating serials in New England libraries.

Raymond DeBuse
Worcester Area Cooperating Libraries

Appendix A

Serials Questionnaire Form

1/21/72

NELINET Survey of Serials Lists in New England

Part A: Questionnaire to be answered by serials librarian

Name of Library _____

I. Does your library currently contribute holdings information to New Serials Titles?

Yes ___ No ___

II. Does your library produce an internal, multiple-copy serials list?

Yes ___ No ___

III. Does your library contribute to a local union list of serials?

Yes ___ No ___

Name of the union list _____

Editor or coordinator (name & address) _____

_____

If answer to either (II) or (III) was "Yes", please check or fill in the appropriate information for the following:

	Internal list	Union List
IV. Means of production:		
a) Manual (e.g. typed then duplicated)	_____	_____
b) Unit record equipment	_____	_____
c) Computer	_____	_____
d) Other (specify)	_____	_____
V. Frequency:		
a) Monthly	_____	_____
b) Quarterly	_____	_____
c) Semi-annually	_____	_____

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	Internal list	Union List
d) Annually	_____	_____
e) Other (specify)	_____	_____
VI. Number of titles (total)	_____	_____
VII. Number of titles which your library contributes	_____	_____
VIII. Number of copies produced	_____	_____
IX. Distribution (check all appropriate categories)		
a) In-library	_____	_____
b) Branch libraries	_____	_____
c) Faculty or research personnel	_____	_____
d) Other libraries	_____	_____
e) Other (specify)	_____	_____

X. Please attach a photocopy of the first page of entries of your most recent list. If the list is machine-produced, please furnish also a copy of the record and file formats.

XI. Comments _____

_____

_____

_____

Signed _____ Title _____

Address _____

Tel. # _____
area code

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Part B. Questionnaire to be answered by interlibrary loan librarian

Name of Library _____

I. Please estimate the number of times which the following types of serials lists are consulted in your library by checking the appropriate blank. (Do not include Kardex, Visguide, etc.)

A. Internal serials list (including merged departmental literary lists)

	Staff use	Patron use
1) Several times a day	_____	_____
2) Once a day	_____	_____
3) A few times a week	_____	_____
4) Once a week	_____	_____
5) Less than once a week	_____	_____

B. Local multi-institutional union list to which your library contributes entries or holdings

1) Several times a day	_____	_____
2) Once a day	_____	_____
3) A few times a week	_____	_____
4) Once a week	_____	_____
5) Less than once a week	_____	_____

C. A local multiple-institutional union list for your geographical area to which your library does NOT contribute entries or holdings

1) Several times a day	_____	_____
2) Once a day	_____	_____
3) A few times a week	_____	_____
4) Once a week	_____	_____
5) Less than once a week	_____	_____

D. Union lists from elsewhere in New England to which your library does NOT contribute entries or holdings

1) Several times a day	_____	_____
2) Once a day	_____	_____
3) A few times a week	_____	_____

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	Staff use	Patron use
4) Once a week	_____	_____
5) Less than once a week	_____	_____

II. If no union list exists in your local geographic area, do you feel there is a need for one?

yes _____ no _____

III. Please rank the following recommendations in order of preference (1=1st choice).

_____ A. That present area union lists be exchanged on a formal and predictable basis. ("Area" refers to a subregion of New England)

_____ B. That specific area union lists be expanded to include libraries not now contributing to them, and that these lists to be distributed as above.

_____ C. That one master regional list be produced covering all of New England.

_____ D. That one regional list containing titles currently received be produced as a by-product of an automated serials control system (planned to be available through NELINET in the early 1970's).

_____ D. Other, please specify _____

_____

_____

_____

IV. Other comments.

Signed _____

Title _____

Tel. No. _____

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Part C: Questionnaire to be answered by union list editor

Title of union list _____

I. Number of libraries which contribute entries & holdings _____

II. Please attach a list of contributing libraries

III. Types of libraries involved (you may check more than one)

a) Public _____

b) Academic _____

c) Special _____

d) Other, please specify _____

IV. Approximate number of entries in the latest cumulation _____

V. Approximately how frequently is the list updated

a) Semi-annually _____

b) Annually _____

c) Biennially _____

d) Other, please specify _____

VI. How is the list produced (check one)

a) With unit record equipment _____

b) By computer _____

c) Other, please specify _____

VII. If the list is computer-produced, which storage media contain the masterfile (check one)

a) Cards _____

b) Tape _____

c) Disc _____

d) Other _____

VIII. What is the estimated cost-per-copy of producing this list _____

IX. What is the price-per-copy of this list which you (would) change to non-contributors _____

X. Please attach a photocopy of the first page which contains entries of your most recent list. If the list is machine-produced, please furnish also a copy of the record and file formats.

Signed _____

Address _____ Title _____ Tel.# _____

Appendix B: Responding Libraries

Anna Maria College Library
Annhurst College Library
Bangor Theological Seminary, Moulton Library
Barrington College Library
Bates College

Bay Path Junior College, Hatch Memorial Library
Becker Junior College, Alumni Library
Bristol Community College, Learning Resources Center
Brown University Library
Castleton State College

Central Connecticut State College, Elihu Burritt Library
Clark University, Robert H. Goddard Library
College of our Lady of the Elms
Connecticut College Library
Connecticut State Library

Curry College
Eastern Connecticut State College, Smith Library
Emerson College, Abbot Memorial Library
Fairfield University, Nyselius Library
Forsyth Dental Center Library

Framingham State College, Henry Whitmore Library
Greenfield Community College Library
Hampshire College Library Center
Harvard College Library
Harvard University

Harvard University, Baker Library
Hebrew College Library
Leicester Junior College Library
MacGregor Library
Massachusetts College of Art
Massachusetts College of Optometry Library

Middlebury College Library
Mt. Alvernia College
Mt. Holyoke College Library
Mt. St. Joseph College Library
Mt. Wachusett Community College Library

Naval War College Library
New England Aeronautical Institute, & Daniel Webster Junior College
New England Institute Library
New England College

New Hampshire State Library
New Hampshire Vocational-Technical College (Laconia)
Newton College, Kenney-Cottle Library
Norwich University Library
Oblate College & Seminary Library

Providence College, Phillips Memorial Library
R.P.I. of Connecticut, Hartford Graduate Center Library
Rhode Island School of Design Library
Roger Williams College Library
Sacred Heart University Library

Salem State College Library
Simmons College Library
Smith College Library
South Central Community College Library
Southeastern Massachusetts University Library

Springfield College, Babson Library
Springfield Technical Community College Library
St. Francis College Library
St. Joseph College, Pope Pius XII Library
St. Thomas Seminary Library

Stone & Webster Engineering Technical Library
Stonehill College, Cushing-Martin Library
Suffolk University Library
Swain School of Design Library
Trinity College

Tufts University Library
University of Connecticut, Wilbur Cross Library
University of Maine, (Farmington), Mantor Library
University of Massachusetts Library (Amherst)
University of New Hampshire, Dimond Library

University of Vermont, Guy W. Bailey Library
United States Coast Guard Academy Library
Vermont Department of Libraries
Westfield State College Library
Wesleyan University Library

Wellesley College Library
Western New England College
Wheaton College Library
Williams College Library
Worcester Polytechnic Institute, George C. Gordon Library
Worcester Public Library
Worcester State College, Learning Resources Center